



2163
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/970,078

Confirmation No.: 8120

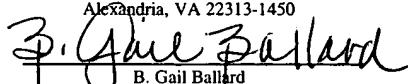
Filed: October 3, 2001

Inventor(s):

John Bunda

Title: METHODS AND SYSTEMS
FOR MANAGING A
PORTFOLIO OF
SECURITIES

§ Examiner: Unknown
§ Art Unit: 2163
§ Atty. Dkt. No: 5226-02200

CERTIFICATE OF MAILING	
UNDER 37 C.F.R. §1.8	
DATE OF DEPOSIT: <u>April 9, 2004</u>	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail on the date indicated above and is addressed to:	
Commissioner for Patents	
Alexandria, VA 22313-1450	
	B. Gail Ballard

INFORMATION DISCLOSURE STATEMENT

RECEIVED

APR 14 2004

GROUP 3600

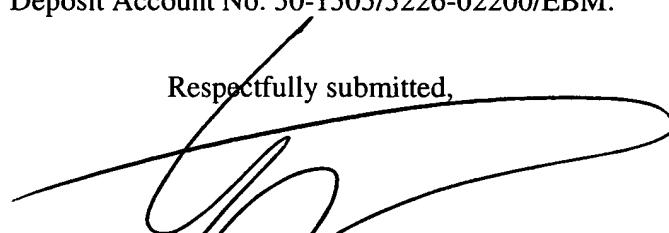
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 (references E1-E7) be considered by the Examiner and made of record. Copies of the listed documents are enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Meyertons, Hood, Kivlin, Kowert & Goetzl, P.C. Deposit Account No. 50-1505/5226-02200/EBM.

Respectfully submitted,


Eric B. Meyertons
Reg. No. 34,876

Attorney for Applicant

MEYERTONS, HOOD, KIVLIN, KOWERT & GOETZL, P.C.

P.O. BOX 398

AUSTIN, TEXAS 78767-0398

Ph. 512-853-8800 Fax 512-853-8801

Date: April 9, 2004

Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5226-02200 APPLICANT: John Bunda FILING DATE: October 3, 2001	SERIAL NO. 09/970,078 GROUP: 2161
---	--	--

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO
	E7	WO 01/42967	June 14, 2001	PCT			

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	E1	International Search Report, PCT/US02/18063, mailed May 8, 2003
	E2	International Search Report, PCT/US02/18224, mailed May 15, 2003
	E3	International Search Report, PCT/US02/18978, mailed May 21, 2003
	E4	International Search Report, PCT/US02/26471, mailed December 11, 2003
	E5	International Search Report, PCT/US02/31239, mailed April 3, 2003
	E6	International Search Report, PCT/US02/34357, mailed January 7, 2003

RECEIVED

APR 14 2004

GROUP 360

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.